GSA

U.S. General Services Administration

2007
WEST COAST CUSTOMER WORKSHOP

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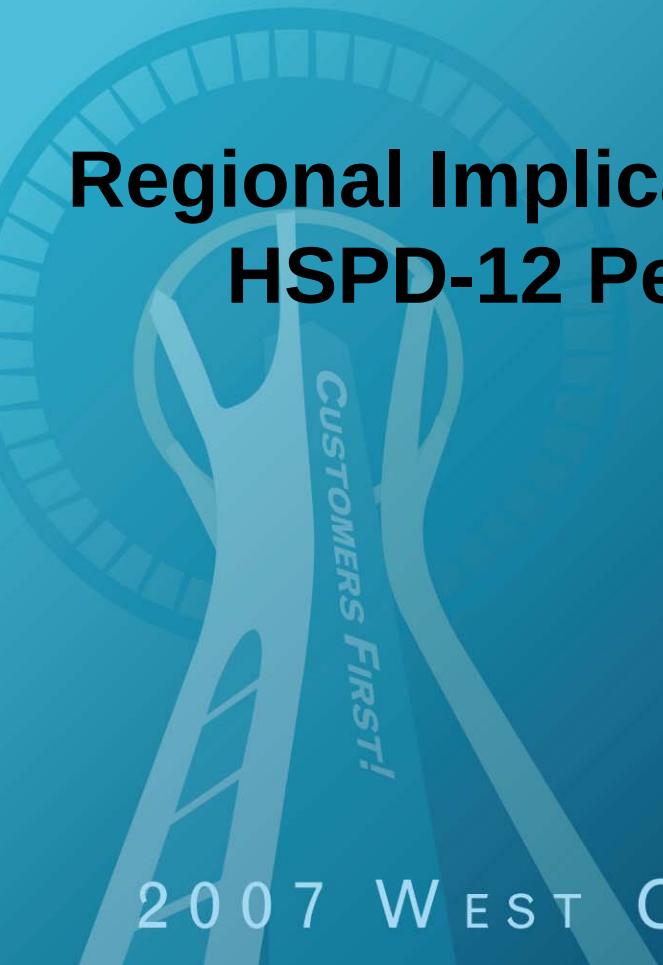
U.S. General Services Administration

Regional Implications of the Implementation of HSPD-12 Personal Identity Verification



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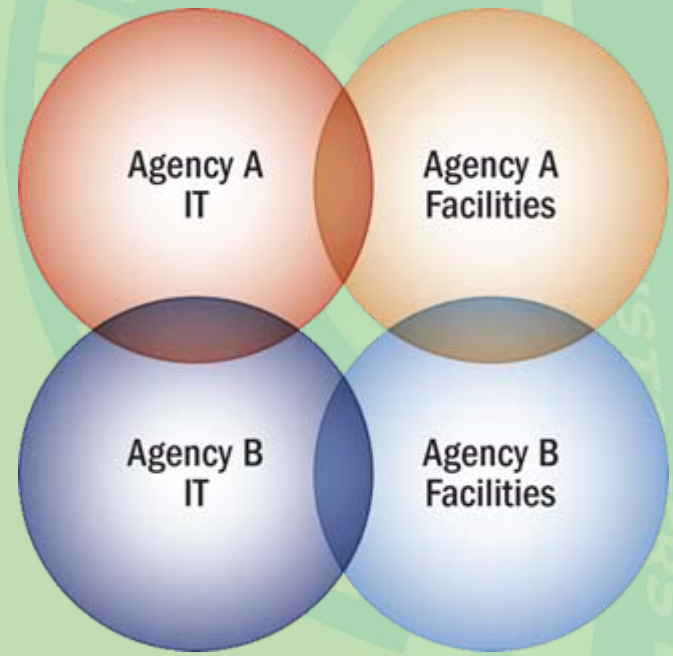
HSPD-12 seeks a consistent identity verification process and minimum standards for IDs issued across the Federal Government

- Announced by the White House on August 27, 2004
- HSPD-12 establishes a policy for strict personnel identification standards and timeframe for implementation
- In response to HSPD-12, National Institute of Standards and Technology (NIST) released a new standard, Federal Information Processing Standards (FIPS) 201-1
- NIST created the Personal Identity Verification (PIV) standards

HSPD-12 follows a Government trend across Agencies to solve critical business problems.

The HSPD-12 mandate provides a common identification standard for managing access to information and services across Federal agencies

- Mandates a common, interoperable identification standard for managing access to information and systems to, within, or among Federal agencies and departments.
- Addresses interagency interoperability
- Compels Federal agencies to adopt stronger security standards and procedures
- Provides consistency for issuing identity credentials to employees and contractors
- Addresses both access to physical facilities and logical assets



HSPD-12 planning and implementation is managed by many Federal organizations

The HSPD-12 Community is comprised of diverse organizations and developers all contributing key elements of the program

- **Policy**: OMB is responsible for ensuring that agencies comply with the standard, and in August 2005, it issued a memorandum to executive branch agencies with instructions for implementing HSPD-12 and the new standard.
- **Standards**: National Institute of Standards and Technology (NIST) released a new standard, Federal Information Processing Standards (FIPS) 201-1, on June 26, 2006.
- **Vendor-provided products**: There are a number of GSA-approved vendors for HSPD-12 services including vendors that manufacture COTS products.
- **Government and independent provider services**: GSA and the Department of the Interior are both providing enrollment and issuance services to federal agencies in a “shared services” model. Private providers are also able to provide services.
- **Agencies**: Agencies are individually responsible for internally implementing HSPD-12.

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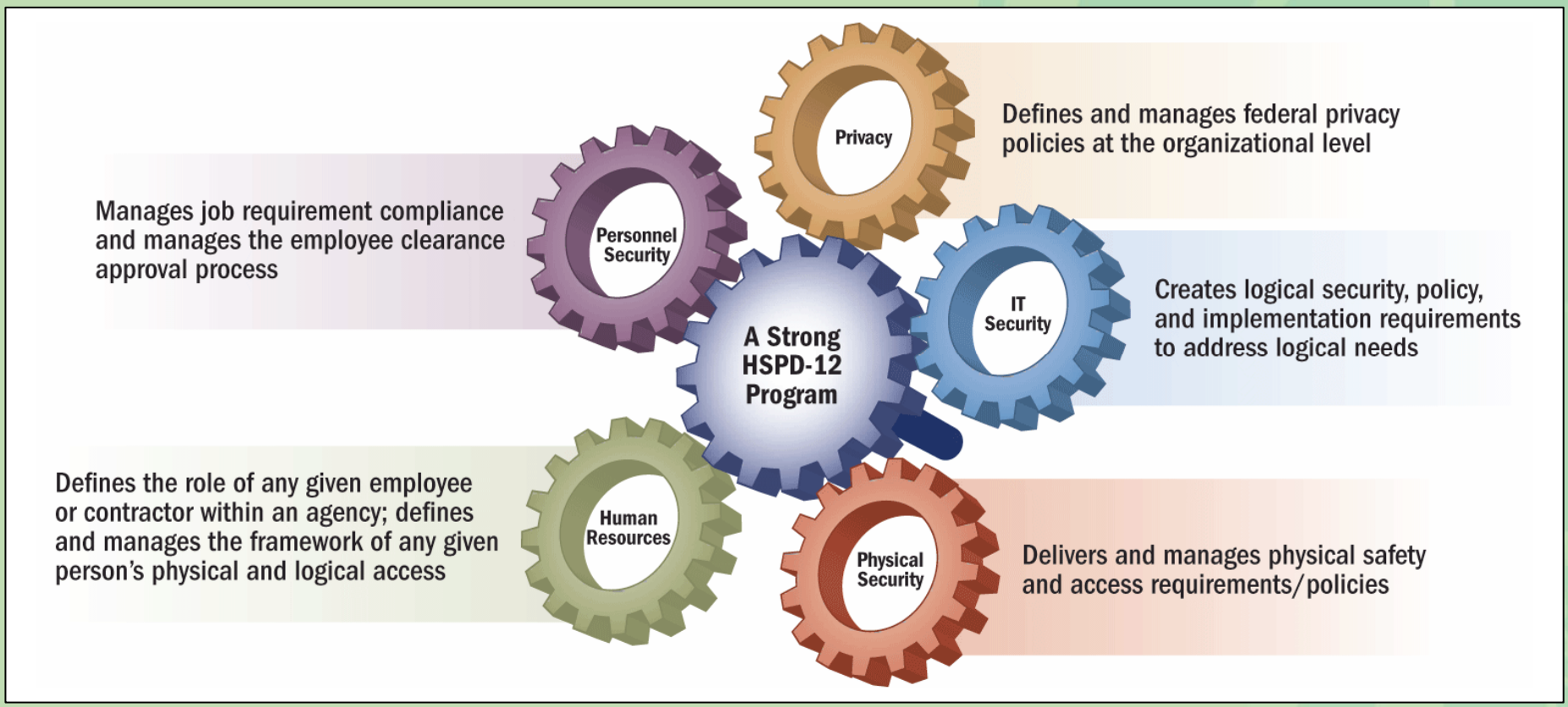
HSPD-12 requires the convergence of physical and logical identity activities—stakeholders must be brought together to achieve this goal



A strong HSPD-12 program requires the participation of each stakeholder

Management
- Executive sponsorship is required

Organization
- Cooperation required between the various stakeholders of the Department
- Key stakeholder buy-in needed to roll out enterprise-wide solution

Budget
- Funding may need to be reprogrammed to be made available to establish a compliance monitoring program, an inventory audit, and a program to ensure compliance with FIPS 201

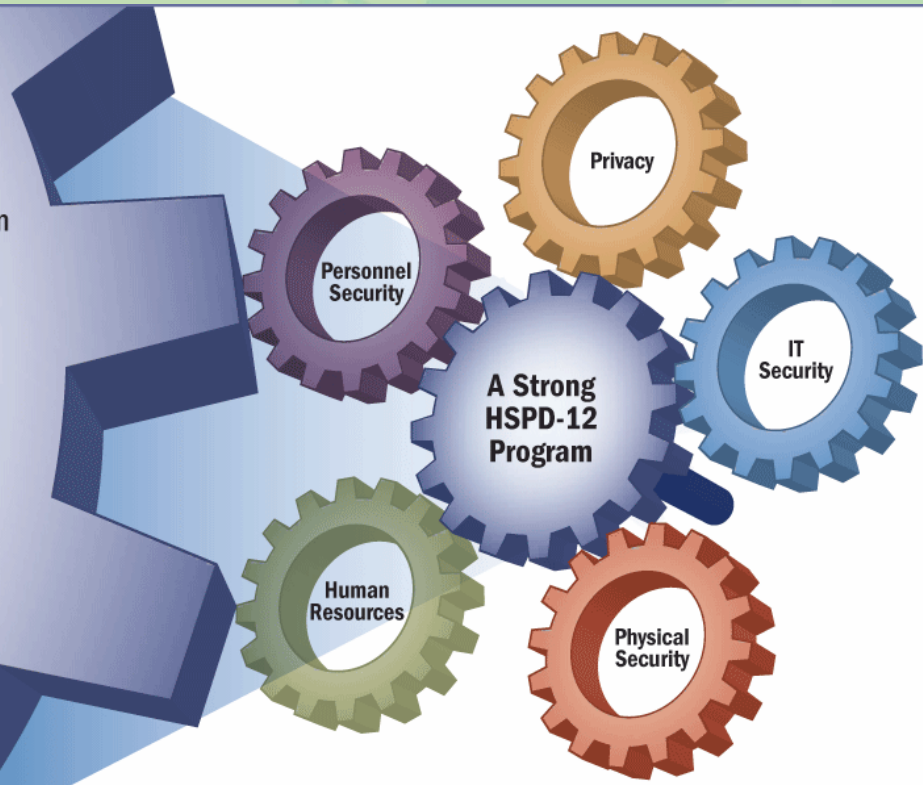
Staff Resources
- Staff required to manage and construct the business processes and systems that meet the requirements of FIPS 201

Internal Policy
- Internal policy reviews will need to be conducted to align current policy, directives, orders, notices, and guidance with HSPD-12 and FIPS 201

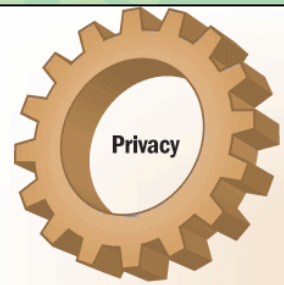
Training
- Changes to existing systems and their use will require training and outreach programs to ensure awareness by the Federal employee and contractor community

Communications
- Awareness of the program and its goals and objectives will need to be communicated to prevent misinformation and mischaracterizations

Technology
- Upgrades needed to current badging systems and infrastructure



For each key stakeholder challenge, there are solutions



	Human Resources	Physical Security	IT Security	Privacy	Personnel Security
CHALLENGES	■ HR Managers are challenged to ensure that the staffing needs of the agency are not impacted by HSPD-12 ■ Document chain of custody and separation of roles is difficult to maintain	■ Issue identification, coordination for security clearance and access changes ■ Managing the cards pre- and post-issuance	■ Suddenly faced with integrating and securing Physical Access Control Systems ■ Determining which Identity Management implementation model to employ	■ Have not established working relationships with other HSPD-12 stakeholders ■ May not have the appropriate skill set to fully understand HSPD-12	■ Agencies are understaffed and not prepared for the surge of background investigations ■ Adjudication time frames impact the ability to begin contracts on time
SOLUTIONS	■ Conduct an examination of the hiring processes used by HR to satisfy staffing requirements and align them with the agency's business requirements	■ Adapting current process to the new mission ■ Training ■ Reengineering the existing processes	■ Understand the risks prior to integration into the current environment ■ Determine feasibility of shared services ■ Educate each stakeholder group	■ Update agency privacy policies and guidance to address appeals procedures ■ Close coordination with the stakeholders and system owners	■ Evaluate current processes, determine bottlenecks, and develop a plan ■ Coordinate activities with process stakeholders

There is continued pressure to reduce cost.
Security has always been a visible target for cost reduction because it is not viewed as revenue-producing.

Training is becoming more complex.
No longer simply concerned with individual roles and responsibilities, organizations must learn the environment of each functional area to survive.

Compliance is becoming more difficult to attain.
All stakeholder groups share certain compliance requirements but, the organization is responsible for meeting them all

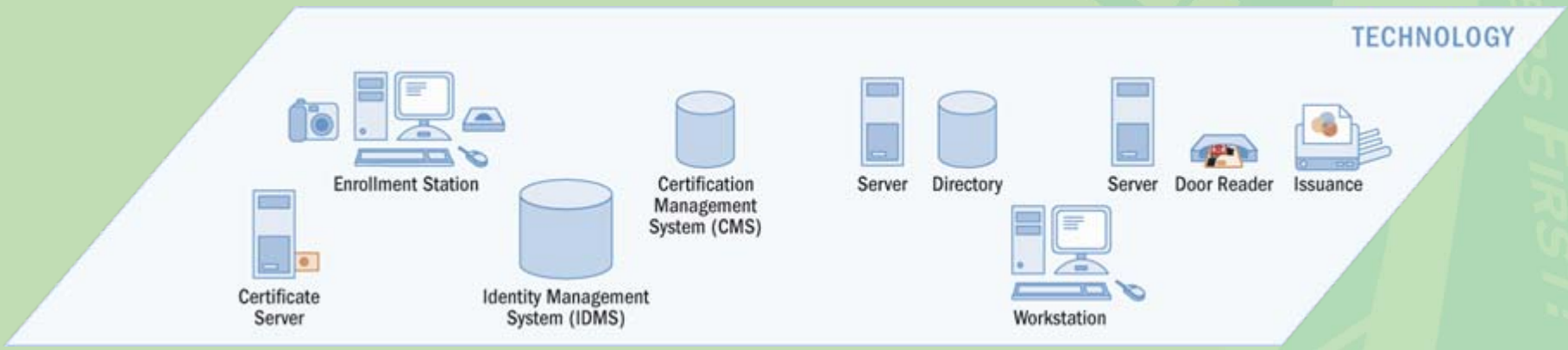
The systems development lifecycle offers a structured framework for HSPD-12 implementation

	Strategy	Planning & Definition	Architecture & Development	Integration & Deployment	Operations, Maintenance, & Optimization
KEY ACTIVITIES	■ Business requirements ■ Cross-domain activities ■ Identification of key roles and responsibilities ■ Legal/regulatory considerations ■ Economic analysis	■ Security assessment (e.g GISRA, FISMA) ■ Policy/procedures ■ Legal/regulatory considerations ■ Maturity assessment ■ Privacy impact assessment	■ Refinement of use cases ■ Prototype ■ Architecture/design ■ COTS/GOTS evaluation ■ Proof of concept	■ Integration of applications ■ Data conversion ■ Technical documents ■ Testing ■ Vendor selection	■ Training ■ Pilot rollout ■ Assured transition ■ Monitoring
DELIVERABLES	■ Strategy document ■ Preliminary investigation report ■ Project schedule	■ Business case ■ Systems requirements document – Vision – Scope – Mock-ups ■ Detailed functional specifications ■ Implementation plan (schedule) ■ Privacy Risk Report	■ System design specifications ■ Software specifications ■ COTS/GOTS evaluation results ■ Detailed system architecture ■ Architecture prototype	■ Technical documents ■ User document ■ System test plan ■ Test data ■ Detailed test scenarios ■ System prototype	■ Final system documentation ■ Test results ■ Pilot review ■ Training documents ■ Management reports

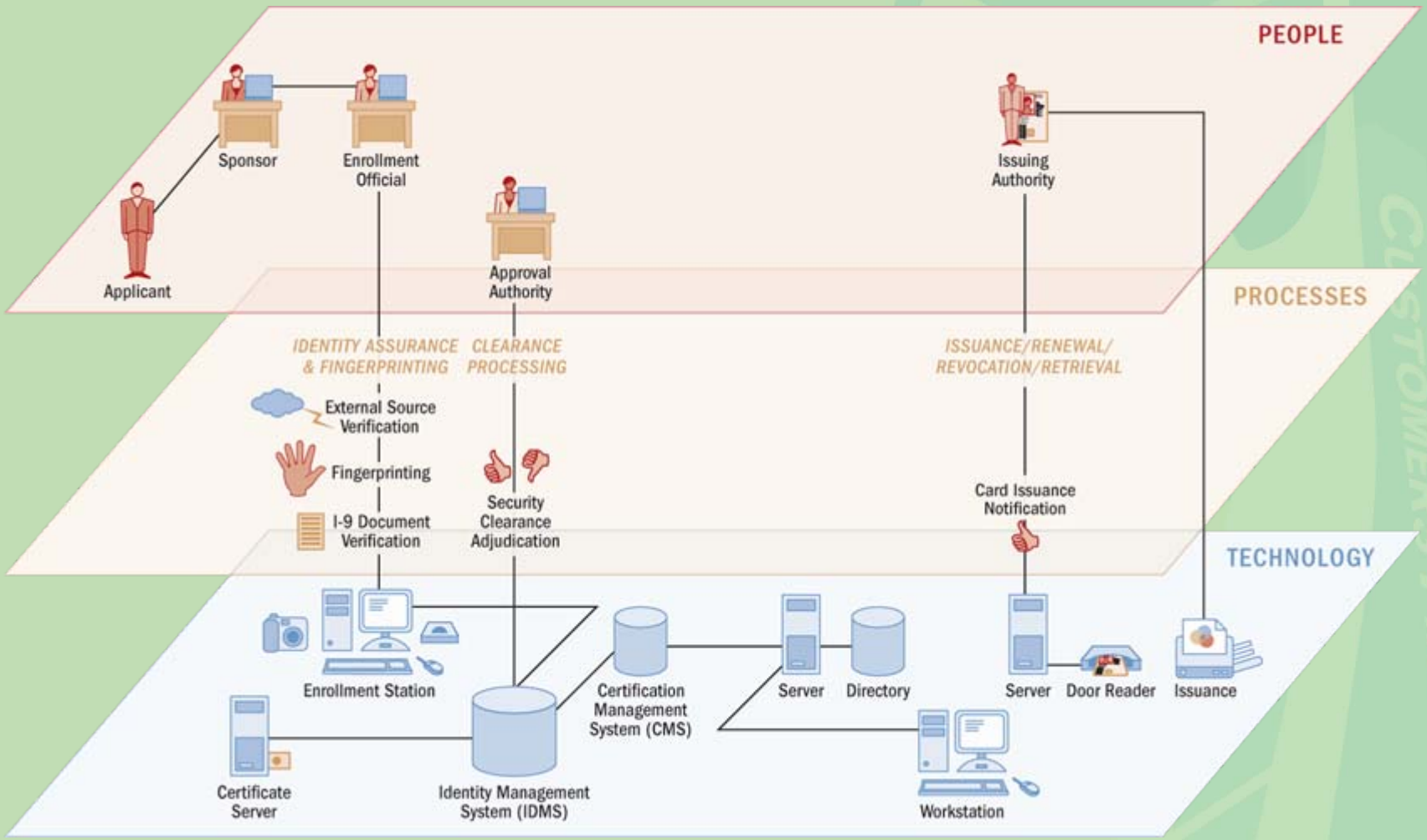
People in well-defined roles are fundamental components in a sustainable HSPD-12 compliant program

Well-defined processes are imperative to the efficiency of a sustainable HSPD-12 compliant program

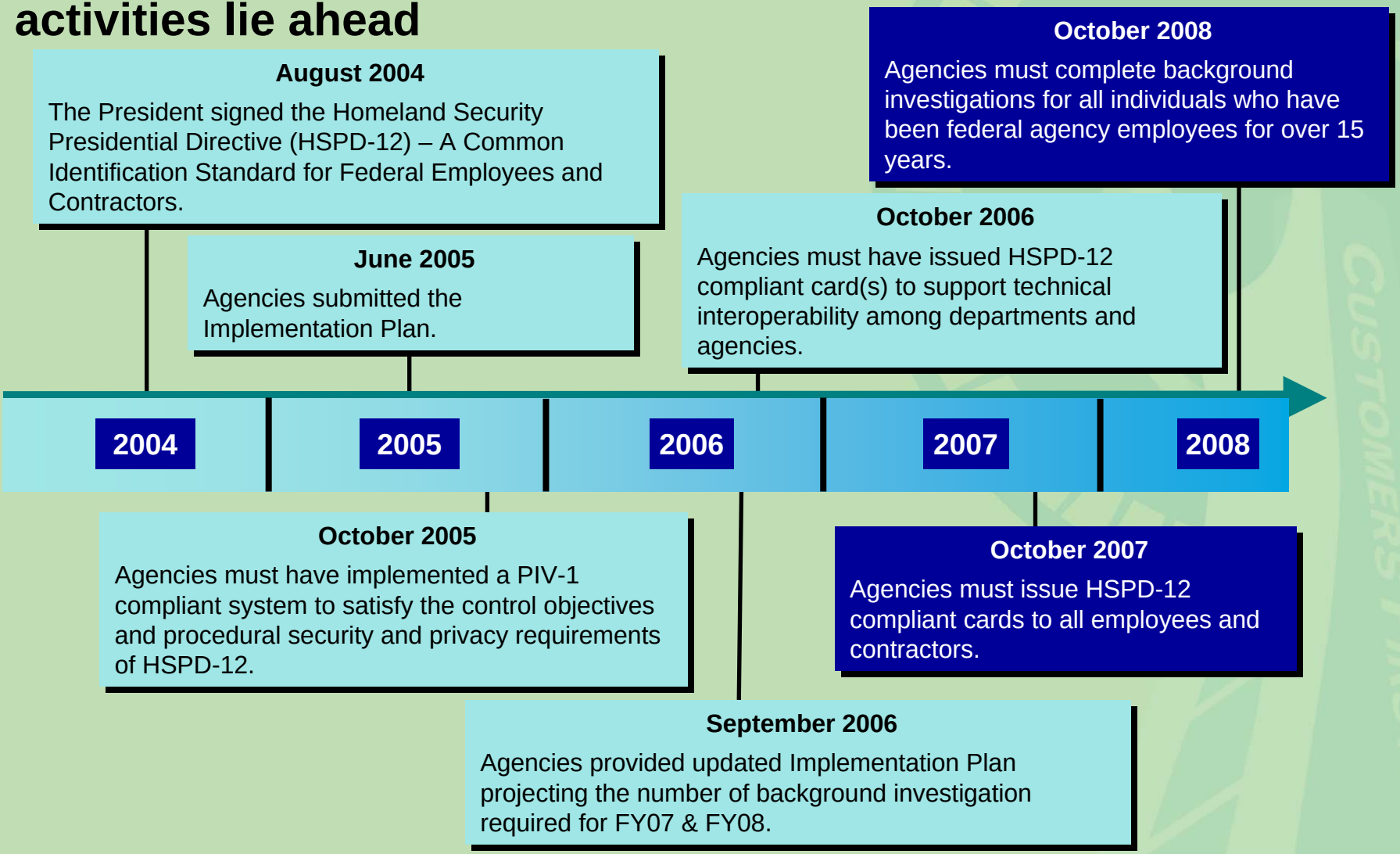
Technology is the foundation that supports the people and the processes of a sustainable HSPD-12 program



The convergence of people, processes, and technology is the key to producing a sustainable HSPD-12-compliant program



The HSPD-12 directive is well advanced along the implementation timeline, and significant implementation activities lie ahead



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Many organizations have elected to use a Managed Service Offering (MSO) for direct economies and efficiencies

- Shared service providers include-
  - GSA – over 40 customer organizations (others are evaluating)
  - DOI National Business Center – over 25 customer organizations (others are evaluating)
  - DoD Defense Manpower Data Center – operates the DoD Common Access Card program
  - Dept. of State – provides credentialing for Federal customers in foreign countries
- Shared service providers offer important benefits derived from federated buying
  - Ensured interoperability
  - Accelerated timeframes
  - Reduced costs from aggregated acquisitions
  - Increased leverage in the marketplace
- Some cabinet-level organizations are still evaluating options to either completely manage their own HSPD-12 programs or partially leveraging an MSO in a “hybrid” approach (e.g., using the MSO for card issuance)

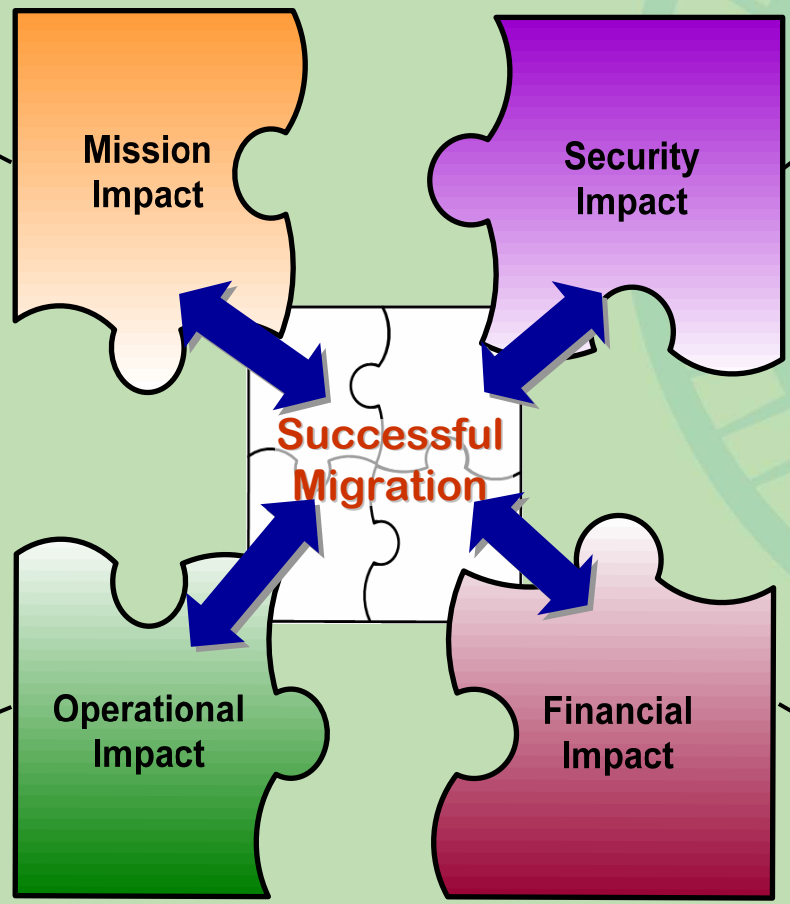
Regardless of the approach, there are regional-level responsibilities, including physical access configuration and role management

Regional organizations face challenges as HSPD-12 implementation activities are passed down internally

- Issuance of cards to Federal agency employees in **multi-tenant buildings**
- Ensuring **first responder access** to Federal facilities
- Establishing **contractor requirements** for Federal building and systems access
- Migrating existing **Identity Management infrastructure** to meet HSPD-12 mandate
- Leveraging existing physical and logical Identify Management investments to meet HSPD-12 in a **cost-effective fashion**
- Identifying resources to effectively plan, develop, and implement the changes required to achieve compliance in the **regional and field offices**
- Achieving interagency interoperability while managing differing **confidentiality and privacy requirements**.
- Establishing or redirecting **funding sources** from agency-unique authentication and identity management infrastructures for standardization efforts
- Ensuring that HSPD-12 implications are factored into **Continuity of Operations Plans (COOP)**.

A successful HSPD-12 implementation should address mission, security, operational, and financial impacts

- Project Management to support continuous, close cooperation across agency's leadership team and transition office
- Agency's PMA scorecard
- Role Management



- Risk Management – categorize risks and identify mitigation strategy
- Complete background investigations.
- Plan, develop, and execute a C&A Program to comply with NIST SP800-79

- Operations staff involvement
- Determine what organizational changes are needed if any. Identify any new position descriptions and roles that need to be created and assigned.
- Equipment vendor interoperability

- Develop a financial plan to fund the program Identification of appropriate funding resources
- Business case development and allocation of funding
- Cost Management

What can regional organizations do to anticipate HSPD-12 regional implementation?

1. Participate

- Determine if there a Department level program.
- If so, am I coordinating my approach with them? Do I understand their approach?
- Identify and contact the lead organization in my agency.
- Participate in internal working groups.
- Do I need a regional program/project office?

2. Prepare

- Conduct an analysis of operating current environment
  - Physical Security – What do you have? Is it compliant? Is there a need to standardize? How do I integrate/implement in the agency approach? Are my systems on the GSA Approved Product List (APL)? Do I have procurements under way using products from the GSA APL?
  - Logical Security – Identify uses for the credential (card & cert) to securely access IT resources. What is my plan to manage user credentials for logical access?
- What is my procurement strategy and plan?
- Complete background investigations by 10/27/07 and 10/27/08 in accordance with OMB M-05-24

What can regional organizations do to anticipate HSPD-12 regional implementation? (continued)

3. Plan

- Identify the “As Is” environment
- Provide an understanding of where process change is needed
- Determine the implementation model best for the regional environment
- Build a communication plan for the organization
- Develop/coordinate policy and guidance
- Track implementation
- Provide training and awareness
- Assess compliance (C&A)
- Monitor compliance and identify change

Important Questions

- What do you need to know about HSPD-12?
- What do you need to do about HSPD-12?
- When do you need to do it by?
- What will the impact be on your business or organization?

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